

**UTILITY/DESIGN PATENT**

(document recordation / IDS)

Date: Nov 25, 2002

Rec'd in the USPTO on the date stamped hereon via Certificate of Mail:

Docket #: ASMEX-367AApplicant: Michael A. ToddTitle: PROCESS FOR DEPOSITION OF SEMICONDUCTOR FILMSApp No.: 101074,534Filed: February 11, 2002Exr: UnknownArt Unit: 2812Batch: —Re-Exam No.: —VERIFIED BY: Asst: SDAtty: MAQC: —☒ Transmittal Letter☒ Information Disclosure Statement; with PTO-1449 w/ 3 Ref(s)☐ Recordation Form Cover Sheet☐ Assignment in — pgs☐ — for Recordation in — pgs☐ \$ — Check for Recordation Fee☐☐☒ Return Prepaid Postcard

(3/6/0)

PATENT

Case Docket No. ASMEX.367A

Date: November 25, 2002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael A. Todd

Appl. No. : 10/074,534

Filed : February 11, 2002

For : PROCESS FOR DEPOSITION  
OF SEMICONDUCTOR FILMS

Examiner : Unknown

Group Art Unit : 2812

) I hereby certify that this correspondence and all  
) marked attachments are being deposited with the  
) United States Postal Service as first class mail in  
) an envelope addressed to: United States Patent  
) and Trademark Office, P.O. Box 2327,  
) Arlington, VA 22202, on

November 25, 2002

(Date)

*Joseph J. Mallon*  
Joseph J. Mallon, Reg. No. 39,287

TRANSMITTAL LETTER

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed for filing in the above-identified application are:

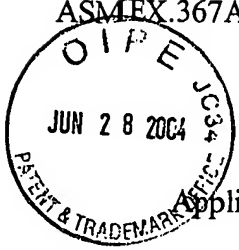
- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 with three (3) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

*Joseph J. Mallon*  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550

ASMEEX.367A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant : Michael A. Todd ) Group Art Unit 2812  
App. No. : 10/074,534 )  
Filed : February 11, 2002 )  
For : PROCESS FOR DEPOSITION )  
OF SEMICONDUCTOR )  
FILMS )  
Examiner : Unknown )

INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing references that are also enclosed. This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 11/25/02

By: Joseph J. Mallon  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ASMEX.387AAPPLICATION NO.  
10/074,534INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Michael A. ToddFILING DATE  
February 11, 2002GROUP  
2812

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	6,159,828	12/12/00	Ping et al.	438	486	
	6,171,662 B1	01/09/01	Nakao	427	595	
	6,197,669 B1	03/06/01	Twu et al.	438	585	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	

S:\DOCS\JOM\JOM-4106.DOC:112102

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	



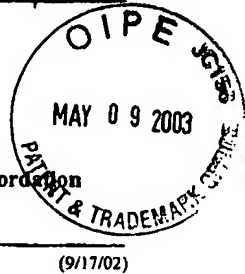
**UTILITY/DESIGN PATENT**  
(Document recordation / IDS)

Date: May 6, 2003

Rec'd in the USPTO on the date stamped hereon via Certificate of Mail:

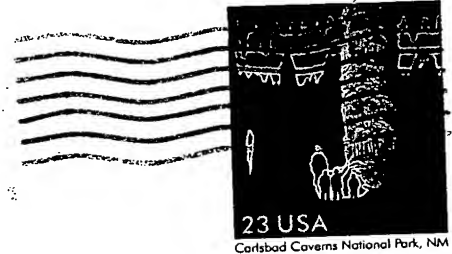
Docket #: ASMEX: 307A Applicant: Michael A. Todd  
Title: PROCESS FOR DEPOSITION OF SEMICONDUCTOR FILMS  
App No.: 101074, 534 Filed: February 11, 2002  
Exr: Shrinivas H. Rao Art Unit: 2812  
Class/Sub-Class: 438/222.000 Re-Exam No.:  
VERIFIED BY: Asst: SLO Atty: [Signature] QC: 9

- ☒ Transmittal Letter  
☒ Information Disclosure Statement in 1 pgs  
☒ Form PTO-1449 in 1 pgs ☒ Reference(s)  
☒ \$180 Check for IDS  
☐ Recordation Form Cover Sheet  
☐ Assignment in      pgs ☐ \$      Check for Recordation  
☐      for Recordation in      pgs  
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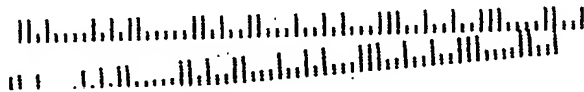
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KNOBBE, MARTENS, OLSON & BEAR, LLP



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**KNOBBE, MARTENS, OLSON & BEAR, LLP**  
A LIMITED LIABILITY PARTNERSHIP INCLUDING PROFESSIONAL CORPORATIONS  
INTELLECTUAL PROPERTY LAW

2040 Main Street  
14th Floor  
Irvine, CA 92614



Date: May 6, 2003



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael A. Todd  
Appl. No. : 10/074,534  
Filed : February 11, 2002  
For : PROCESS FOR DEPOSITION  
OF SEMICONDUCTOR FILMS  
Examiner : Shrinivas H. Rao  
Group Art Unit : 2812

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

May 6, 2003

(Date)

  
Joseph J. Mallon, Reg. No. 39,287

## TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 with one (1) reference.
- (X) A check in the amount of \$180 to cover the above fee is enclosed.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael A. Todd

Group Art Unit 2812

App. No. : 10/074,534

Filed : February 11, 2002

For : PROCESS FOR DEPOSITION OF  
SEMICONDUCTOR FILMS

Examiner : Shrinivas H. Rao

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing references that are also enclosed. This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(c)(2) before the mailing date of a final action and before the mailing of a Notice of Allowance. This Statement is accompanied by the fees set forth in 37 C.F.R. § 1.17(p). The Commissioner is hereby authorized to charge any additional fees which may be required or to credit any overpayment to Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: \_\_\_\_\_

5/6/03

By: \_\_\_\_\_

Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ASMEX 387AAPPLICATION NO.  
10/074,534INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Michael A. ToddFILING DATE  
February 11, 2002GROUP  
2812

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	US 2002/0098627 A1	07/25/02	Pomarede et al.	438	149	08/31/01

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER  
INITIAL

## OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)


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EXAMINER

DATE CONSIDERED

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.





UTILITY/DESIGN PATENT  
(RCE)

Date: August 19, 2003  
Date of Action: July 8, 2003

Rec'd in the USPTO on the date stamped hereon via Certificate of Mail:

Docket #: ASMEK-367A

Applicant: Michael A. Todd

Title: PROCESS FOR DEPOSITION OF SEMICONDUCTOR FILMS

App No.: 10/074,534

Filed: February 11, 2002

VERIFIED BY: Asst:

SLO

Atty:

AM

JQC:

- ☒ Request for Continued Examination  
☐ Amendment in \_\_\_\_\_ pgs  
☐ \_\_\_\_\_ Month Extension Requested  
☐ Request for Suspension for \_\_\_\_\_ Months  
☒ Information Disclosure Statement; with  
PTO-1449 w/ 11 Ref(s)  
☐ Terminal Disclaimer in \_\_\_\_\_ pgs  
☐ Sequence Submission Statement  
☐ Sequence Listing in \_\_\_\_\_ pgs  
☐ \_\_\_\_\_ copies of CRF Containing Seq List  
☒ Return Prepaid Postcard

- ☐ Req for Drawing Changes/Corrections  
☐ \_\_\_\_\_ sheets of RED-Lined Drawings  
☐ Affidavit(s)/Declaration(s)  
☒ \$ 750 Check for Filing Fees

(3/6/02)

KNOBBE MARTENS OLSON & BEAR

SAN DIEGO PATENT ACCOUNT  
550 WEST C STREET, SUITE 1200  
SAN DIEGO, CA 92101

18408

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DATE August 19, 2003 11-24 1147  
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FOR ASMEK-367A / RCE / 10,074,534 / SUM

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## REQUEST FOR CONTINUED EXAMINATION (RCE)

UNDER 37 C.F.R. § 1.114

Applicant: Michael A. Todd  
Application Number: 10/074,534  
Filing Date: February 11, 2002  
Title: PROCESS FOR DEPOSITION OF  
SEMICONDUCTOR FILMS  
Examiner Name: Shrinivas H. Rao  
Group Art Unit: 2814

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Mail Stop RCE, Alexandria, VA 22313-1450, on

August 19, 2003

(Date)

*Joseph J. Mallon*  
Joseph J. Mallon, Reg. No. 39,287

Commissioner for Patents  
P.O. Box 1450  
Mail Stop RCE  
Alexandria, VA 22313-1450

This is a Request for Continued Examination (RCE) under 37 C.F.R. § 1.114 of the above-identified application.

1. Submission Required under 37 C.F.R. § 1.114:

- (X) Enclosed:  
(X) Information Disclosure Statement (IDS)  
(X) Return Postcard

## 2. Fees:

- (X) RCE fee (\$750 large entity)

## 3. Payment:

- (X) Check in the amount of \$750 to cover the above fees.  
(X) The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. § 1.16 and § 1.17 which may be required, now or in the future, or credit any overpayment to Deposit Account No. 11-1410.

Address all future communications to Customer No. 20,995.

Dated: 8/19/03

*Joseph J. Mallon*  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550



INFORMATION DISCLOSURE STATEMENT

Applicant : Michael A. Todd  
App. No. : 10/074,534  
Filed : February 11, 2002  
For : PROCESS FOR DEPOSITION OF  
SEMICONDUCTOR FILMS  
Examiner : Shrinivas H. Rao  
Group Art Unit : 2814

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing references that are also enclosed.

This Information Disclosure Statement is being filed with an RCE or within three months of the filing date of this application and no fee is required in accordance with 37 C.F.R. § 1.97(b)(1), (b)(2), or (b)(4).

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 8/19/03

By: Joseph J. Mallon  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
ASMEX.367AAPPLICATION NO.  
10/074,534INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Michael A. ToddFILING DATE  
February 11, 2002GROUP  
2814

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
1.	5,214,002	05/25/93	Hayashi et al.			
2.	5,356,821	10/18/94	Naruse et al.			
3.	5,471,330	11/28/95	Sarma			
4.	6,103,600	08/15/00	Ueda et al.			

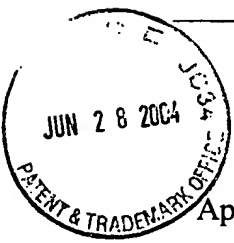
## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
5.	11317530	16-11-99	Japan (abstract)			X	
6.	EP 0368651 A2	16-05-90					
7.	EP 0486047 A2	20-05-92					
8.	EP 0747974 A2	11-12-96					
9.	EP 1065728 A2	03-01-01					
10.	GB 2332564 A	23-06-99	United Kingdom				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
11.	Olivares, J. et al.; "Solid-phase crystallization of amorphous SiGe films deposited by LPCVD on SiO <sub>2</sub> and glass," Thin Solid Films 337 (1999) pp. 51-54.

S:\DOCS\JOM\JOM-5163.DOC:081903

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	

**INFORMATION DISCLOSURE STATEMENT**

Applicant : Michael A. Todd  
App. No. : 10/074,534  
Filed : February 11, 2002  
For : PROCESS FOR DEPOSITION OF  
SEMICONDUCTOR FILMS  
Examiner : Shrinivas H. Rao  
Group Art Unit : 2814

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing six (6) references that are also enclosed.

This Information Disclosure Statement is being filed before the mailing date of a final action under 37 C.F.R. § 1.113 and before the mailing date of a Notice of Allowance under § 1.311. A certification under 37 C.F.R. § 1.97(e) is set forth below. Thus, no fee is required as set forth in 37 C.F.R. § 1.97(c).

CERTIFICATION UNDER 37 C.F.R. § 1.97(e)(2)

I hereby certify that no item of information contained in this Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than 30 days prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: June 24, 2004

By: Joseph J. Mallon  
Joseph J. Mallon  
Registration No. 39,287  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ASMEX.367A	APPLICATION NO. 10/074,534
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Michael A. Todd	
		FILING DATE February 11, 2002	GROUP 2814

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	1	V. Z-Q Li <i>et al.</i> , Appl. Phys. Lett. 71(23) 3388-90 (1997)
	2	T-J King <i>et al.</i> , J. Electrochem. Soc., 141(8) 2235-41 (1994)
	3	A. Kovalgin <i>et al.</i> , ProRISC/IEEE 311-17 (1998)
	4	C. Hernandez <i>et al.</i> , Mat. Res. Soc. Symp. Proc. 533 93-98 (1998)
	5	M. Cao <i>et al.</i> , J. Electrochem. Soc., 142(5) 1566-72 (1995)
	6	J. Holleman <i>et al.</i> , J. Electrochem. Soc. 140(6) 1717-22 (1993)

S:\DOCS\JOM\JOM-6159.DOC:062404

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	